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?show files;ds
File 9:Business & Industry(R) Jul/1994-2003/Oct 23
      (c) 2003 Resp. DB Svcs.
File 15:ABI/Inform(R) 1971-2003/Oct 24
      (c) 2003 ProQuest Info&Learning
File 16:Gale Group PROMT(R) 1990-2003/Oct 23
      (c) 2003 The Gale Group
File 20:Dialog Global Reporter 1997-2003/Oct 24
      (c) 2003 The Dialog Corp.
File 148:Gale Group Trade & Industry DB 1976-2003/Oct 24
      (c) 2003 The Gale Group
File 160:Gale Group PROMT(R) 1972-1989
      (c) 1999 The Gale Group
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| Set | Items | Description |
|-----|----------|--|
| S1 | 768961 | (FINANCIAL OR ESTATE OR INVESTMENT) () (MANAGEMENT OR PLANNING OR ARRANGEMENT? ? OR ADMINIST?) OR EMPLOYEE()BENEFIT? ? |
| S2 | 11582523 | ASSET? ? OR SAVINGS OR DISBURS? OR PAYMENT? ? OR PROPERT??? |
| S3 | 1222246 | OR RECEIPT? ? OR ANNUIT??? OR EARNINGS OR INCOME |
| S4 | 12512253 | ASSIGN? ? OR ASSIGNMENT OR ASSIGNING OR ALLOCAT??? OR ALLOT? OR REBALANC??? OR REALLOCAT??? OR APPORTION? OR REAPPORTION? |
| S5 | 2862291 | ERISA OR EMPLOYEE()RETIREMENT()INCOME()SECURITY()ACT OR REGULATORY OR REGULATION? ? OR LEGAL()RESTRAINT? ? OR OVERSEE??? |
| S6 | 89730 | OR OVERSIGHT OR ADMINISTRATION OR GOVERN??? OR ENFORC? OR RESTRICT??? OR LAW? ? OR REG OR REGS OR LEGISLATION |
| S7 | 189986 | OR AVOID? OR CIRCUMVENT??? OR (KEEP??? OR STAY??? OR STEER???-) () (CLEAR OR IN()MIND) OR NEGATE? ? OR NEGATING OR NEGATION OR PROHIBIT??? OR ESCAPE OR MINDFUL |
| S8 | 5709 | (CONFLICT? ? OR CLASH?? OR DISHARMONY OR DISAGREE? OR INCOMPATIB?) (3N) (INTEREST OR ETHIC?? OR MORAL?? OR DUTY OR DUTIES |
| S9 | 12514362 | OR PRINCIPLE? ?) |
| S10 | 564 | S3(3N) (S2 OR (INTEREST OR RETURN? ? OR PROFIT? ? OR GAIN? ? |
| S11 | 96 | OR RESOURCES OR CAPITAL OR MONEY? ? OR MONIES OR DIVIDEND? ?-)) |
| S12 | 949 |) |
| S13 | 0 | S1(S) (S7(S)S12) |
| S14 | 3600 | S4 AND S8 |
| S15 | 3 | S1(S) (S7(S)S14) |
| S16 | 58 | S7(S)S14 |
| S17 | 25 | S7(10N)S14 |
| S18 | 26 | S15 OR S17 / |
| S19 | 23 | S18 NOT PY>2001 |
| S20 | 23 | S19 NOT PD=20010210:20031130 |
| S21 | 19 | RD (unique items) |

21/3,K/2 (Item 1 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
(c) 2003 ProQuest Info&Learning. All rts. reserv.

02081749 62818248
Investment advisory services under ERISA
Geller, Sheldon M
CPA Journal v70n9 PP: 42-52 Sep 2000
ISSN: 0732-8435 JRNL CODE: CPA
WORD COUNT: 4954

...TEXT: order to clarify its position on participant education. The bulletin indicated that the provision of *asset* *allocation* services does not cause fiduciary liability under the *Employee* *Retirement* *Income* *Security* *Act* of 1974 (ERISA). Nevertheless, many plan participants continue to expect specific investment recommendations, services not...

... allocation services could constitute investment advice. Interpretive Bulletin 96-1 resolved the uncertainty by excluding *asset* *allocation* services from fiduciary liability under *ERISA*. Although the bulletin provides four safe harbors under which the provision of investment education services...

21/3,K/5 (Item 4 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
(c) 2003 ProQuest Info&Learning. All rts. reserv.

01725053 03-76043
Issues in financial institution capital in emerging market economies
Frankel, Allen B
Economic Policy Review v4n3 PP: 213-223 Oct 1998
JRNL CODE: EPV
WORD COUNT: 6100

...TEXT: that countries should adopt fairly priced deposit insurance to avoid the distorting consequences for resource *allocation* associated with *capital* *regulation*. They argue that appropriate risk-adjusted deposit insurance premiums would provide bank owners with incentives...

21/3,K/6 (Item 5 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
(c) 2003 ProQuest Info&Learning. All rts. reserv.

01690037 03-41027
Money and trust: Relationships between patients, physicians, and health plans
Goold, Susan Dorr
Journal of Health Politics, Policy & Law v23n4 PP: 687-695 Aug 1998
ISSN: 0361-6878 JRNL CODE: JHP
WORD COUNT: 3243

...TEXT: M. 1986. Doctors' Decisions and the Cost of Medical Care Health.
Ann Arbor, MI: Health *Administration*.

Goold, Susan D. 1996. *Allocating* Health Care *Resources*: Cost Utility Analysis, Informed Democratic Decision Making, or the Veil of Ignorance?
Journal of Health...

21/3,K/8 (Item 7 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
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01564222 02-15211
Managing client assets
Fleming, Peter D
Journal of Accountancy v185n1 PP: 33-39 Jan 1998
ISSN: 0021-8448 JRNL CODE: JAC
WORD COUNT: 4329

ABSTRACT: Investments have always been an integral part of the *financial* *planning* process. For many years, however, CPA-financial planners only recommended what classes of investments a...

... offer implementation assistance. As traditional barriers begin to fall, CPAs today are going well beyond *asset* *allocation* and referring clients to investment managers, recommending specific securities, and in some cases even earning...

... managers face a number of issues, including making changes to their fee structures, licensing and *regulatory* concerns. After 20 tax seasons, Mike Ruff of Pampa, Texas, is making a transition to full-time *investment* *management*. Ruff believes CPAs have the knowledge, background, training and client trust to be effective financial...

21/3,K/10 (Item 9 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
(c) 2003 ProQuest Info&Learning. All rts. reserv.

00866901 95-16293
No quick fix
MacLean, Don F; Roy, J Paul Emile
CA Magazine v127n3 PP: 64-66 Apr 1994
ISSN: 0317-6878 JRNL CODE: CCA
WORD COUNT: 1847

...TEXT: quality control system needs to incorporate policies and procedures for a number of basic human *resources* activities, including hiring, *assignment*, performance evaluation, advancement, continuing professional education and *restriction* of professional staff activities.

ENGAGEMENT PROCEDURES

Providing quality services to clients requires a thoughtful, planned...

21/3,K/13 (Item 1 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
(c) 2003 The Dialog Corp. All rts. reserv.

10263293 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Tapping the private client
INTERNATIONAL ACCOUNTING BULLETIN
March 20, 2000
JOURNAL CODE: WIAB LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 1907

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... management solution, where one institution handles everything from estate and tax planning; to the formation, *administration* and management of trusts and *asset* *allocation*, to day-to-day portfolio management.

"In many respects, accountants have it all," said James...

21/3,K/15 (Item 2 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB

11670595 SUPPLIER NUMBER: 58577008 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Roundtable on the role of independent investment company directors: issues
for independent directors of bank-related funds, variable insurance
product funds, and closed-end funds.

Ambler, Diane E.

Business Lawyer, 55, 1, 205

Nov, 1999

ISSN: 0007-6899 LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 22112 LINE COUNT: 01894

... to the public through bank distribution channels, typically in
bank-sponsored investment programs such as *asset* *allocation* programs).

Issue: Do the bank exclusions from the federal securities
laws create any unique issues requiring special
review or monitoring by the independent directors of
the...BANKS, MUTUAL FUNDS, AND INSURANCE COMPANIES 91

n.60 (Clifford E. Kirsch ed., 1997).

(43.) *Asset* *allocation* programs may rely on a nonexclusive safe
harbor from *regulation* as an investment company See 17 C.F.R. (sections)
270.3a-4. An asset...

21/AA,AN,TI/1 (Item 1 from file: 9)
DIALOG(R)File 9:(c) 2003 Resp. DB Svcs. All rts. reserv.

2613741 Supplier Number: 02613741
US regulations trigger practice sale

21/AA,AN,TI/2 (Item 1 from file: 15)
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.

02081749 62818248
Investment advisory services under ERISA

21/AA,AN,TI/3 (Item 2 from file: 15)
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.

02041158 55443110
Electric industry CEOs forum: Five chiefs and their chosen paths to growth

21/AA,AN,TI/4 (Item 3 from file: 15)
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.

01753310 04-04301
Czech planning in transition: Assets and deficiencies

21/AA,AN,TI/5 (Item 4 from file: 15)
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.

01725053 03-76043
Issues in financial institution capital in emerging market economies

21/AA,AN,TI/6 (Item 5 from file: 15)
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.

01690037 03-41027
Money and trust: Relationships between patients, physicians, and health plans

21/AA,AN,TI/7 (Item 6 from file: 15)
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.

01576234 02-27223
Legislative control of Hong Kong financial markets: Some aspects of banking and securities regulations

21/AA,AN,TI/8 (Item 7 from file: 15)
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.

01564222 02-15211
Managing client assets

21/AA,AN,TI/9 (Item 8 from file: 15)
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.

01539573 01-90561
Protecting the public interest: The role of the State Attorney General in regulating hospital conversions

21/AA,AN, TI/10 (Item 9 from file: 15)
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.

00866901 95-16293
No quick fix

21/AA,AN, TI/11 (Item 10 from file: 15)
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.

00850794 95-00186
The Final Act of the Uruguay Round: A summary

21/AA,AN, TI/12 (Item 1 from file: 16)
DIALOG(R)File 16:(c) 2003 The Gale Group. All rts. reserv.

03460630 Supplier Number: 44829745
Berlusconi facing question of what to do with RAI

21/AA,AN, TI/13 (Item 1 from file: 20)
DIALOG(R)File 20:(c) 2003 The Dialog Corp. All rts. reserv.

10263293
Tapping the private client

21/AA,AN, TI/14 (Item 1 from file: 148)
DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.

13398676 SUPPLIER NUMBER: 71266734
MERCHANT BANKING.

21/AA,AN, TI/15 (Item 2 from file: 148)
DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.

11670595 SUPPLIER NUMBER: 58577008
Roundtable on the role of independent investment company directors: issues
for independent directors of bank-related funds, variable insurance
product funds, and closed-end funds.

21/AA,AN, TI/16 (Item 3 from file: 148)
DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.

10915271 SUPPLIER NUMBER: 54260310
OECD economic surveys: 1998-1999. (includes related articles on the 1998
fiscal developments, 1999 budget, 1992 tax reform, sustainable
development, Kyoto protocol) (Organization for Economic Co-operation and
Development)

21/AA,AN, TI/17 (Item 4 from file: 148)
DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.

10011334 SUPPLIER NUMBER: 20223360
When employees are stepping out... (workplace-dating problems)

21/AA,AN, TI/18 (Item 5 from file: 148)
DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.

07885835 SUPPLIER NUMBER: 16926601
The values jury to aid natural resource decisions. (Speculations)

21/AA,AN, TI/19 (Item 6 from file: 148)
DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.

04636016 SUPPLIER NUMBER: 08351047
Ethical principles in critical care.